

KEEP Project Overview

House Government Efficiency Committee

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Matt Veatch

State Archivist & KEEP Project Manager

<http://keep.ks.gov/presentations>



Overview

- Recordkeeping in a digital age
- Records management & archives in Kansas
- Before KEEP
- KEEP



Government Records

- Foundation of democracy
- Transparency
- Accountability
- Public trust
- Protect legal rights of citizens



Effective Records Management and Archives

- Efficient and systematic control of records throughout life cycle
- Maintain records only as long as needed
- Records destroyed or transferred to archives when required retention periods met



Effective Records Management and Archives

- Preserves records with enduring value
- Protects essential (vital) records
- Protects confidential information
- Reduces risks and costs of litigation
- Reduces cost of records storage



Recordkeeping in a Digital Age

- The way we work has changed
 - The way we manage the records of that work has not kept pace
 - Systems often funded, designed and implemented without adequate thought for the records they create and how those records will be managed across time



Without effective RM, electronic records may be

- Deleted, destroyed, or overwritten before retention requirements met
- Retained longer than needed
- Difficult, time consuming, and expensive to find
- Stored & migrated without adequate provisions for ensuring authenticity
- Stored in obsolete formats and no longer accessible



Digital Age Expectations

- Access to government records expected to be electronic and available 24/7
- Electronic records expected to be authentic, accurate, and trustworthy
- Electronic records – at least some of them – expected to be preserved for generations to come



Digital Age Challenges

- Preserving authentic electronic records not easy
 - Hardware and software dependence
 - Technology obsolescence



Records Management & Archives in Kansas Government



Kansas Records Laws

- Government Records Preservation Act (K.S.A. 45-401 through 45-414)
- Public Records Act (K.S.A. 75-3501 through K.S.A. 75-3520)
- Open Records Act (K.S.A. 45-215 through K.S.A. 45-240)

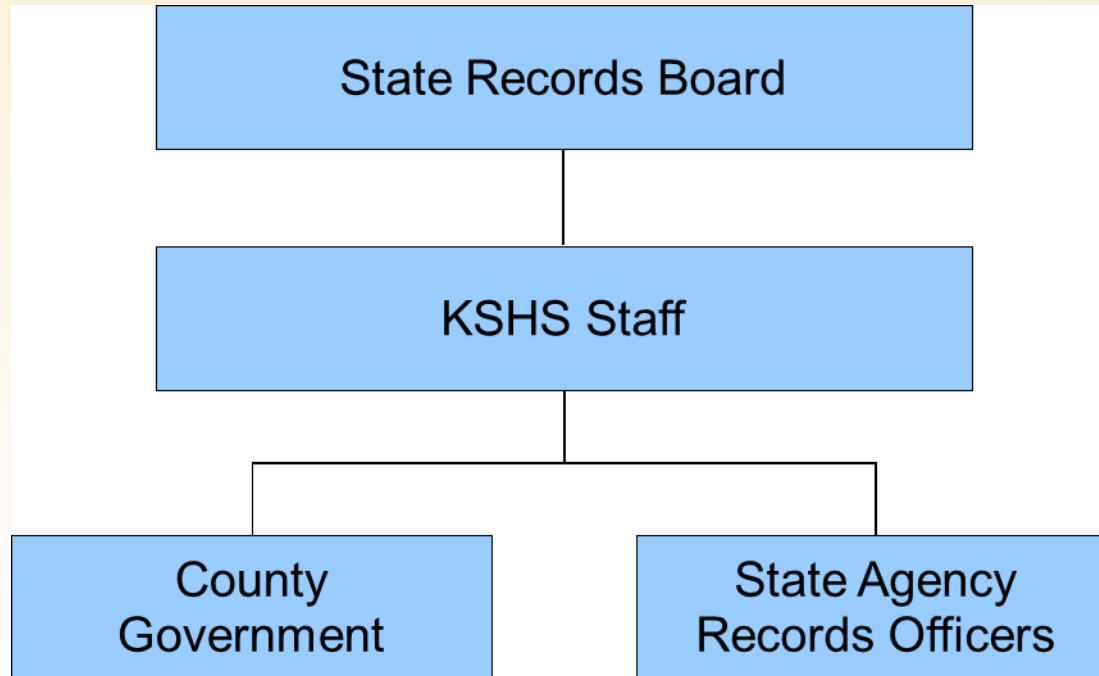


Kansas Government Records

- K.S.A. 45-402: “all volumes, documents, reports, maps, drawings, charts, indexes, plans, memoranda, sound recordings, microfilms, photographic records and other data, information or documentary material,, storage media or condition of use, made or received by an agency **regardless of physical form or characteristics** in pursuance of law or in connection with the transaction of official business or bearing upon the official activities and functions of any governmental agency.”



Records Management Governance



KSHS Records Management & Archives Services, 1905-2011

- State Archives (est. 1905)
- Records scheduling (est. 1950s)
- State Records Center (est. 1992)
- All developed for analog environment



Before KEEP

Electronic Records Management & Preservation Strategies



Digital Age Strategies: Education & Training

- NHPRC Grants (1996 & 1999)
- Guidelines
 - Electronic Records Guidelines (1997)
 - Digital Imaging Guidelines (1998)
 - Email Guidelines (2002)
 - Web RM Guidelines (2004)



Digital Age Strategies: Partnerships

- Electronic Records Committee (1999)
- Information Technology Advisory Board
 - State Archivist membership (2000)
- Electronic Records Summit (2008)



Digital Age Strategies: Influence System Design

- KS Information Technology Architecture
 - E-recs chapter (1999)
 - Data asset management section (2007)
- Electronic Recordkeeping Plan (2001)
 - Addendums to retention schedule
 - Required for long-term electronic records



Digital Age Strategies: Influence System Design

- IT Project Approval Process
 - IT projects > \$250K require a project plan
 - E-Recs Retention Statement required (2000)
 - State Archivist review of ERRS (2010)
 - Does new system include long-term records?
 - Are appropriate plans in place to ensure long-term records authenticity, preservation, & access?



Digital Age Strategies: Trusted Digital Repository

- KSPACe (2004)
 - DSpace digital repository for state publications
 - Remains in service but not fully standards compliant



KEEP

Kansas Enterprise
Electronic Preservation



REAL PEOPLE. REAL STORIES.

KEEP

- Trusted digital repository for KS government records with long-term value
 - Long-term = 10+ year retention period
 - 10 years = Long enough to require preservation actions



Legal Foundation

- Essentially the same as for analog records:
 - Government Records Preservation Act (K.S.A. 45-401 through 45-414)
 - Public Records Act (K.S.A. 75-3501 through 75-3520)



K.S.A. 45-414 (2010)

- State Archivist recommends to the SRB standards for preservation processes for maintaining the authenticity of electronic records
- E-records maintained in accordance have full legal status
- Authorizes state archivist to certify authenticity of electronic records with his/her electronic signature
- Authorizes cost recovery



KEEP System Goals

- Enterprise-wide
- Standards and best practices based
- Open source tools
- Access to authentic and authenticated digital records for as long as needed
- Financial sustainability

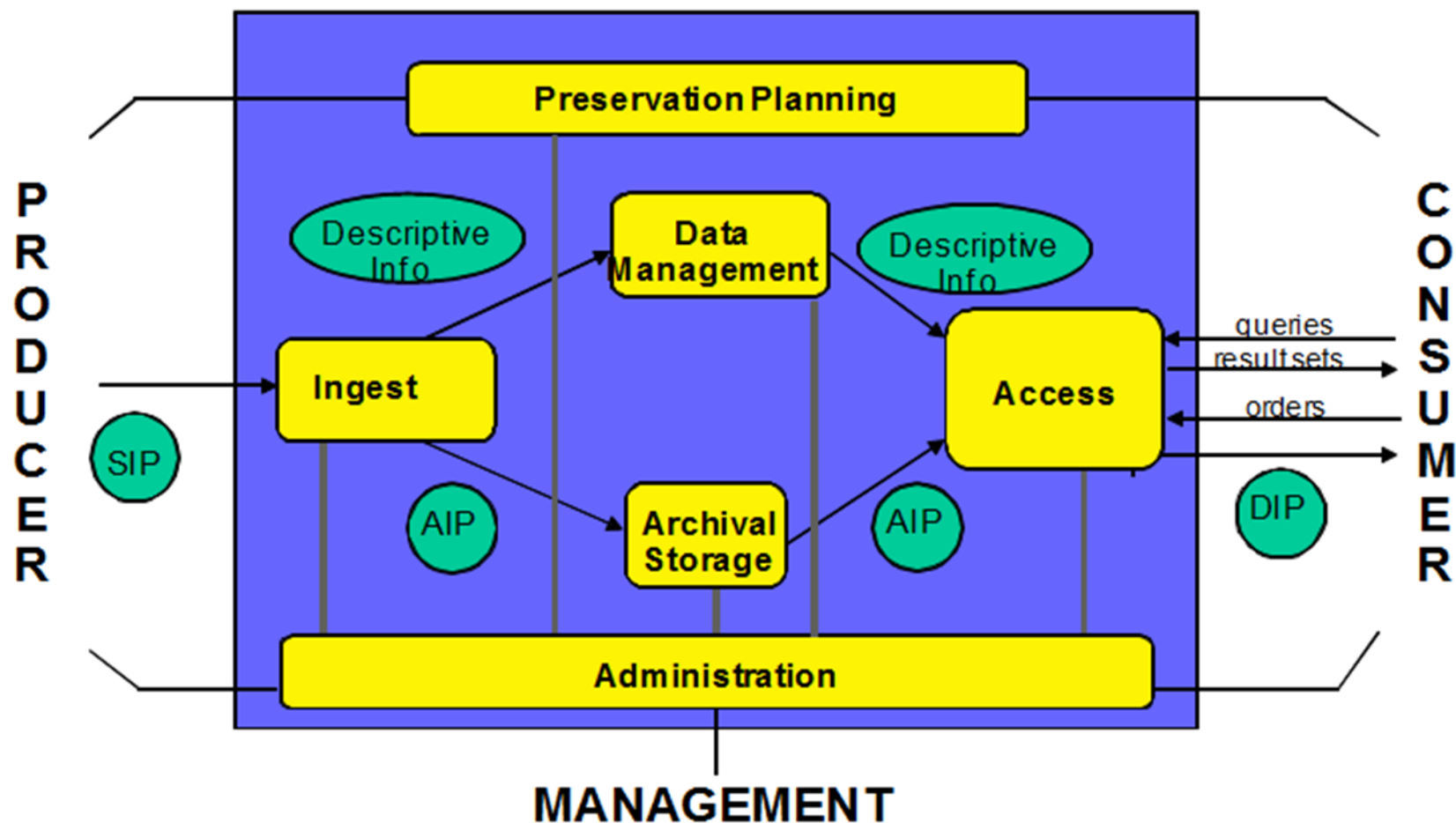


Standards & Best Practices

- OAIS
 - Open Archival Information System (ISO 14721:2003)
- PAIMAS
 - Producer-Archive Interface Methodology Abstract Standard (ISO 20652:2006)
- TRAC
 - Trustworthy Repositories Audit & Certification: Criteria & Checklist (ISO/DIS 16363: in progress)
- PREMIS
 - Preservation Metadata: Implementation Strategies

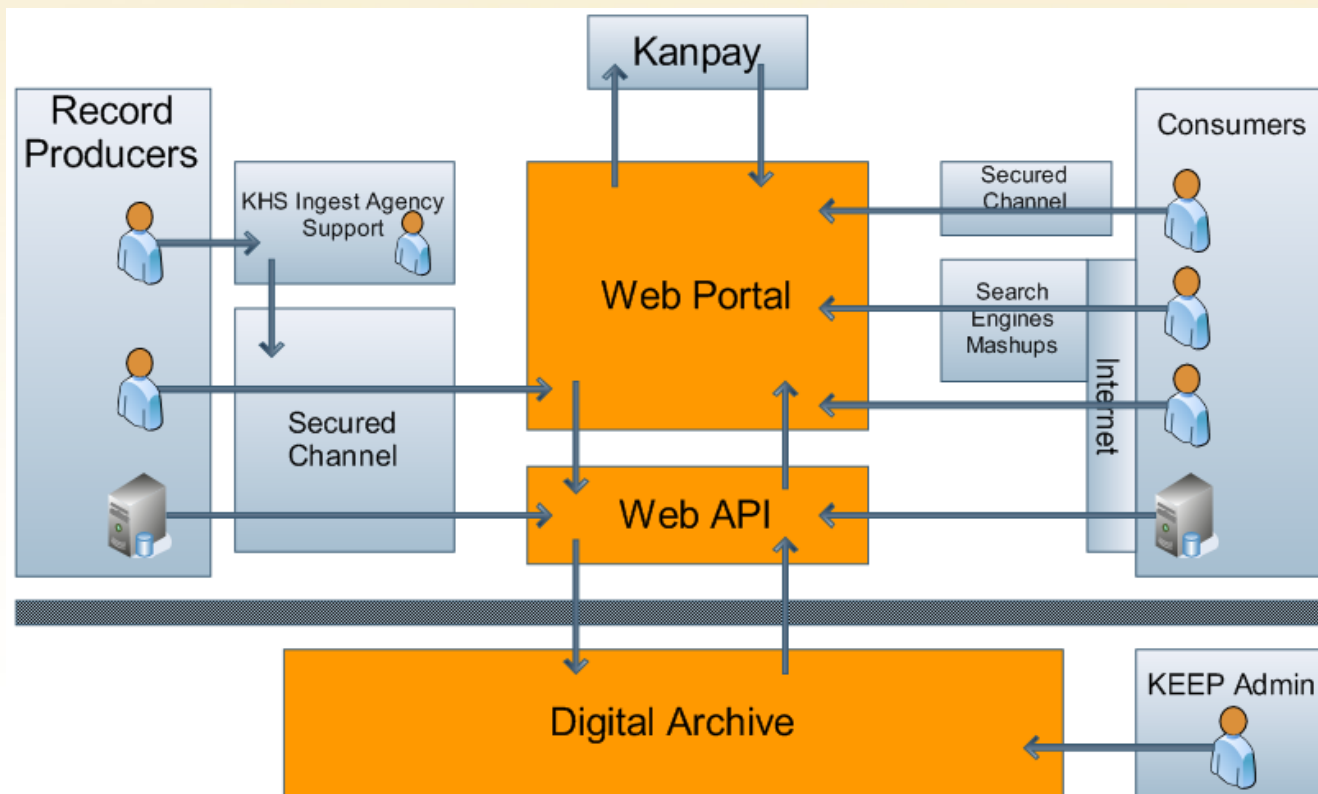


OAIS Functional Entities



SIP = Submission Information Package
AIP = Archival Information Package
DIP = Dissemination Information Package

KEEP System



KEEP System Partners

- Legislature
- Judicial branch
- Information Network of Kansas
- Library of Congress
- Executive branch
 - Kansas Historical Society
 - Attorney General's Office
 - Office of IT Services
- Business partners
 - Imerge Consulting
 - Propylon
 - AOS



KEEP Prototype

- Scope
 - Sample ingest of foundational documents for interpreting Kansas law
 - Legislative committee meeting minutes
 - Supreme Court opinions
 - Attorney General opinions
- Funding
 - SGF
 - INK
 - Library of Congress
- Policy framework v1.
 - September 2010
- Prototype acceptance
 - June 2011




KEEP Production


Part 1: “Dark Archives”

- Ingest Enhancements
 - SIP creation tools
 - Web portal
 - Thick client
 - API
 - Producer authentication
 - Submission agreement validations
- Archival Storage & Data Management Enhancements
 - Metadata registry
 - Variable retention
 - Reporting & management tools
- Projected completion
 - April 2012



KEEP - Kansas Electronic Enterprise Preservation - Ingest Portal

 **keep** Kansas Electronic Enterprise Preservation


Kansas
Historical Society

HOMECREATE PACKAGEMY KEEP ACTIVITYMY INFO

Currently logged in as Tom Ryan

Welcome to the KEEP ingest portal

Create SIP

Select Series Type...

Start

Open Saved Package

Sync Details

Upload SIP

Upload SIPs made with KEEP for desktop

Please locate SIP to upload:

Upload SIP

Activity for Tom Ryan

Activity	Date	Result
6Q7Y39MAPE7N42VAJKZ4DGSDG	2012-01-26 15:46:20	READY
82BUPRAV4ZSMN18M0S1X3R33T	2012-01-26 15:34:23	READY
0RED9TV4JL4E0GBTWUFU69FNXT	2012-01-26 15:31:26	READY


More


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REAL PEOPLE. REAL STORIES.

KEEP - Kansas Electronic Enterprise Preservation - Ingest Portal

**keep** Kansas Electronic Enterprise Preservation



HOMECREATE PACKAGEMY KEEP ACTIVITYMY INFO

Currently logged in as Tom Ryan

Create SIP

Annual Reports

Name: State Records Board

Package Description: Annual Reports

Record 1

Title: StateRecordsBoardAnnualRep

Attachments - 3

remove all

#	Filename	Size	
1	C:/Users/Caprica/Desktop/SRB_FY2009_Annual_Report.pdf	186.1 KB	remove
2	C:/Users/Caprica/Desktop/SRB_FY2010_Annual_Report.pdf	288.7 KB	remove
3	C:/Users/Caprica/Desktop/SRB_FY2011_Annual_Report.pdf	288.7 KB	remove

Attach File

Add Record

Save Package

Create SIP

Clear Values

SIP Submission Information.

SIP submitted.

Package has successfully be converted into a SIP archive.

Status: SIP archive is being processed.

You can now create a new package.

Create Package

Please select series type

Annual Reports

Create

Submitted SIP Details:

Series/Package info:

[Series.Package](#) _____SYS:CLI:SERIESID____

[Description.Package](#) hi

Representation/Record info:

[ID](#) R2012-01-27T21.23.05.047432Z

[TYPE](#) roda:r.digitalized_work:image/mets+misc

[Title.Record](#) hi

File/Attachment:

[MIMETYPE](#) application/pdf

[CHECKSUM](#) 9d67aaa473c1b45841ac174b6fb3d61d

[CHECKSUMTYPE](#) MD5

[FILENAME](#) SRB_FY2006_Annual_Report.pdf

File/Attachment:

[MIMETYPE](#) application/pdf

[CHECKSUM](#) 9d67aaa473c1b45841ac174b6fb3d61d

[CHECKSUMTYPE](#) MD5

[FILENAME](#) SRB_FY2006_Annual_Report.pdf

Package dict:

If there was an error, please copy this and include in your email to support.

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{'Series': '1', 'DMD': {'u'Description.Package': 'u'hi'}, 'AMD': {'u'Series.Package': 'u'____SYS:CLI:SERIESID____'},
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u'9d67aaa473c1b45841ac174b6fb3d61d', 'CHECKSUMTYPE': 'u'MD5', 'FILENAME':
```

KEEP Production

Part 2: Access & Preservation Planning (not yet funded)

- Access
 - Enhanced public access
 - Secure producer access
 - Authentication service
- Preservation Planning
 - Preservation/technical registry
 - Normalization tools



Early Adopters

- KDHE
- Department of Administration
- Board of Regents
- Legislature
- Judicial branch



Contact

Matt Veatch

State Archivist

mveatch@kshs.org

272-8681 x271

